

CHAPTER 61. EVALUATE PART 121/135.411(a)(2) OPERATOR

SECTION 1. BACKGROUND

1. PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Maintenance (14 CFR):

- Part 121: 3202
- Part 135 (10 or more): 3207

B. Avionics (14 CFR):

- Part 121: 5202
- Part 135 (10 or more): 5207

C. Cabin Safety:

- Part 121: pending
- Part 135 (10 or more): pending

3. OBJECTIVE. This chapter describes the process used to evaluate an applicant for a part 121 or 135 (10 or more) certificate.

5. GENERAL. The certification process provides for interaction between the applicant and the Federal Aviation Administration (FAA), from initial inquiry to certificate issuance or denial. The process consists of the following five phases:

- Preapplication Phase
- Formal Application Phase
- Document Compliance Phase
- Demonstration and Inspection Phase
- Certification Phase

7. PREAPPLICATION PHASE.

A. Initial Inquiry. An initial request for information regarding certification may be verbal or in writing.

B. Preapplication Statement of Intent (PASI).

(1) The submission of a PASI shows intent and prompts the district office to allocate resources. A PASI should be submitted only after the applicant has reviewed the appropriate regulations and advisory material.

(2) The PASI is used by the district office manager to evaluate the complexity of the proposed operation.

C. The Certification Team. The district office manager will select a certification team consisting of at least two airworthiness aviation safety inspectors (ASI) (maintenance and avionics) and one ASI (operations). Additional ASI's, including Cabin Safety Specialists may be used.

(1) The district office manager will designate one team member as a Certification Project Manager (CPM). The CPM is the primary spokesperson for the FAA throughout the certification process. The person selected as CPM should have previous experience in certifying an air carrier under part 121 or 135.

(a) The CPM is the primary contact with the applicant. The CPM schedules and conducts meetings and coordinates any correspondence with the applicant.

(b) The CPM must be sure each certification task is completed in an acceptable and timely manner, and ensure that all certification matters are thoroughly coordinated with each team member.

(c) The CPM should schedule periodic meetings with the certification team, unit supervisors, and/or the district office manager to ensure that everyone is fully informed of the current status of the certification. The CPM must notify the unit supervisors and/or the district office manager of any information that may significantly affect or delay certification or that may attract media or political interest.

(2) Each team member will respond to requests for assistance made by the CPM and keep the CPM apprised of the status of the certification. Anything that may delay certification must be brought to the attention of the CPM immediately.

NOTE: Although guidance should be provided to the applicant, it is important that each document, procedure, demonstration, or inspection reflects the applicant's knowledge, skills, and abilities. Therefore, refrain from providing explicit instructions on how a task should be accomplished.

D. Preapplication Meeting. At the preapplication meeting, the following should occur:

(1) The applicant should be briefed in as much detail as necessary to ensure that the certification process is understood.

(2) The Schedule of Events should be used to facilitate any discussions to help ensure that all elements of the certification process are described.

(3) The applicant should be encouraged to ask questions about any area of the process that is not clearly understood.

E. Formal Application. At the preapplication meeting, the form, content, and documents required for formal application are discussed. The formal application must be submitted to the assigned district office. The applicant is encouraged to submit the application as far in advance as possible of the intended starting date. The formal application must be in letter format and must contain the following:

(1) The full and official name of the applicant.

(2) A statement that the document is a formal application for either an air carrier or an operating certificate.

(3) The applicant's mailing address and the physical address of the applicant's intended primary operating location.

(4) For an air carrier applicant, the full name and address of the agent (designated person who has signature authority) for service as required by Title 49 of the United States Code (49 U.S.C.), § 46103.

(5) The names of key management personnel, such as the General Manager (where applicable), Director of Safety, Director of Operations, Director of Maintenance, Chief Pilot, and Chief Inspector, as applicable.

(6) A note is added to the formal application letter if a request for deviation from management personnel requirements is anticipated. The request and justification for the deviation; however, must be made under separate cover.

(7) The signatures of the following, as applicable:

- The owner, when applying as an individual
- Each partner, when applying as a partnership
- An authorized officer, when applying as an organization, such as a company or corporation

F. Formal Application Attachments. The formal application must be accompanied by the following:

(1) *Schedule of Events.* The Schedule of Events lists documents, activities, and acquisitions required for certification. Each item is accompanied by the applicant's best estimate of the date that the item will be submitted, acquired, and/or ready for inspection.

(a) The number and types of events and activities that occur during certification vary according to the operation proposed. The Schedule of Events must list each document to be submitted, the activity to be performed, and the item to be inspected. The schedule must provide the FAA a reasonable amount of time for the review and acceptance or approval of each item or event.

(b) The Schedule of Events is intended to encourage an applicant to submit material well in advance of the date operations are proposed to begin. If, however, the application is submitted with only the minimum lead time required by the regulation, complete documents (such as maintenance manuals) may be required at the time of formal application.

(c) If the applicant plans to petition for exemption, processing time must be considered. Title 14 CFR part 11, § 11.25 requires that a petition be submitted to AGC-204, at least 120 days before it is needed.

NOTE: Final certification could be delayed if the applicant fails to accomplish an item or event in a satisfactory manner or in accordance with the Schedule of Events. In addition, delays may be caused by the need to correct deficiencies in documents, such as manuals or maintenance/inspection programs.

(2) *Company Manual.* The company manual contains information about the applicant's organization, general policies, duties, responsibilities, operational control policy, and procedures. This attachment may be comprised of one or more manuals or sections of manuals.

(a) When the formal application is submitted, the manual must show compliance with the applicable paragraphs of parts 121 and 135.

(b) Team members must ensure that all required material is shown on the Schedule of Events and that adequate time is allowed for review.

(c) The applicant should be encouraged to provide a table of contents.

(3) *Initial Company Training Curriculums.*

(a) At the time of formal application, some training program elements may not be fully developed. The projected date of submission for training course curriculums must be in the Schedule of Events. A draft of the initial company training curriculum, as complete as possible, must be attached to the formal application.

(b) The initial company training curriculum must include at least the following segments:

- Basic indoctrination training
- Emergency training
- Initial aircraft ground training

- Initial aircraft flight training

(c) Curriculums for training maintenance personnel may be included as part of the operator's manual.

(4) *Management Resumes.* This attachment includes resumes showing the qualifications, certificates, ratings, and experience of persons selected for the following, or equivalent, positions:

- General Manager (where applicable)
- Director of Safety
- Director of Operations
- Director of Maintenance
- Chief Pilot
- Chief Inspector (where applicable)

(a) If it appears that a proposed management candidate does not meet the appropriate experience requirements, inform the applicant that a deviation is required to employ that person. If a deviation is requested, the applicant must show equivalent aeronautical experience.

(b) An applicant may request a deviation to use fewer or different personnel. The applicant must prove the ability to perform operations safely under the deviation. The applicant must also show that the proposed personnel can effectively perform the functions associated with the positions in accordance with the regulations and the procedures outlined in the proposed manual.

(c) Requests for deviation must be by letter. These requests must be submitted to the district office as soon as possible. Justification for deviations must take into account the size and scope of the operation and the qualifications of the intended personnel. If fewer or different positions are approved, that approval will be made part of the operations specifications.

(d) Normally, full-time employees are expected for part 135 operations. However, depending on the size, scope, and complexity of the operation, part-time management personnel may be accepted.

(5) *Documents of Purchase, Contracts, and/or Letters of Intent.*

(a) These documents and/or letters show the applicant is committed to making arrangements for aircraft, supporting facilities, and services necessary for the proposed operation. Proof of formal purchase, lease, or contractual arrangement are acceptable. If formal arrangements have not been completed, letters showing preliminary agreements will suffice until formal contracts are available. However, formal agreements must be finalized in sufficient time for FAA evaluation before certification.

(b) If the applicant does not plan to make purchases or develop services until after submitting the formal application, a statement of intent is acceptable.

However, such arrangements must be completed sufficiently in advance of certification for FAA evaluation.

(c) The following types of equipment, facilities, and services are to be addressed in these documents, contracts, or letters:

- Aircraft
- Station facilities and services
- Weather and NOTAM-gathering facilities and services (SAWRS stations)
- Communications facilities and services
- Maintenance facilities and services
- Aeronautical charts and related publications
- Airport analysis and obstruction data
- Contract training or facilities

(6) *Initial Compliance Statement.* The compliance statement ensures that all applicable regulatory aspects are appropriately addressed during the certification process. The compliance statement lists each part 121 or 135 regulation pertinent to the proposed operation. The applicant must describe proposed compliance methods alongside each applicable regulation. A brief narrative or a specific reference to a manual or other document is required. Where necessary, the applicant should indicate that the information will be provided in the final compliance statement.

9. FORMAL APPLICATION PHASE.

A. *Initial Review Of Formal Application.* The initial review of the formal application takes place before the formal application meeting is scheduled. This review verifies that required documents have been submitted. The review also ensures that the material submitted represents a feasible proposal and is of sufficient quality to continue the certification process.

B. *Reviewing the Schedule of Events.* The Schedule of Events set dates for accomplishing or submitting the listed items. When reviewing the Schedule of Events, the CPM/team must consider carefully the feasibility of the proposed schedule with respect to the logic of sequence, timeliness of events, completeness of events, and ASI availability.

(1) *Logic of Sequence.* The team must ensure that the proposed Schedule of Events has the proper sequence.

(2) *Timeliness of Events.* The Schedule of Events must be reasonable, realistic, and provide sufficient time for the certification team to review various documents, manuals, and proposals.

(3) *Completeness of Events.* The team must ensure that the Schedule of Events is complete. Each required manual, document, event, and activity must be listed,

including the submission date for the final compliance statement.

(4) *Availability of Personnel.* The availability of personnel may affect the Schedule of Events. The CPM must determine that qualified ASI's will be available to assist the team in conducting the extensive manual review. The CPM must also determine the need for and availability of resources other than Flight Standards.

C. Initial Determination of Acceptability. The initial decision to accept or reject the formal application is based primarily on the initial review of the formal application and attachments. Results from informal meetings, reviews, and observations of the applicant's capabilities should supplement the decision-making process.

NOTE: The absence of required information in the application letter and/or the absence of one or more of the required attachments requires automatic rejection of the formal application. If the application is rejected before the meeting, it must be returned with a letter of explanation.

(1) The application should be rejected if:

- It appears the applicant has not made a conscientious attempt to comply with the requirements of a formal application.
- Deficiencies and/or omissions are of such a serious nature that they could not be resolved during a meeting.

(2) The formal application should be of sufficient quality to ensure that any discrepancy or omission can be resolved during the formal application meeting. During the meeting, all discrepancies or omissions in submitted materials must be resolved.

D. Final Determination of Acceptability. After the formal application meeting, the CPM and the certification team make a final determination of acceptability. Generally, if the formal application meeting is concluded without significant disagreements, it should be considered successful and result in an acceptable formal application. However, the team may decide there are sufficient reasons to reject the formal application. These reasons should clearly indicate that to proceed with the certification project would not be productive. Such reasons might include inadequate agreements on appropriate courses of action or evidence that the applicant does not understand the regulatory requirements and/or the certification process.

11. DOCUMENT COMPLIANCE PHASE.

A. Document Review. In the document compliance phase, the applicant's manuals and other documents are reviewed and accepted, approved, or rejected. This phase is accomplished in the district office by the certification team. Each document is reviewed in depth to ensure compliance with applicable regulations and conformity to safe operating practices.

(1) The Schedule of Events determines the priority of items to be reviewed.

(2) The plan for review should ensure that each required manual or document is reviewed according to procedures and criteria outlined in other chapters of this handbook. The initial compliance statement directs the ASI to the location in the applicant's manuals where a compliance procedure is described.

13. DEMONSTRATION AND INSPECTION PHASE.

A. Description. In this phase, the certification team determines the effectiveness of the applicant's proposed procedures and programs, and ensures that facilities and equipment are satisfactory. Emphasis is on compliance with regulations and safe operating practices.

B. Responsibilities. The CPM must ensure that each aspect of the applicant's required demonstrations is observed and approved or disapproved.

15. CERTIFICATION PHASE. An applicant is entitled to a certificate when:

(1) The certification process is completed.

(2) Each significant unsatisfactory item has been corrected.

(3) The applicant has met all regulatory requirements.

(4) It has been determined that the applicant is capable of complying with the regulations.

(5) The applicant's ability to conduct operations in a safe manner has been demonstrated.

NOTE: Before issuing the certificate, noncritical items needing further resolution should be discussed with the applicant and corrective action noted in writing.

SECTION 2. PROCEDURES

1. PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites:

- Knowledge of the regulatory requirements of 14 CFR parts 121 or 135, as applicable
- Successful completion of the Airworthiness Inspectors Indoctrination Course or equivalent

B. Coordination. This task requires coordination between ASI's (airworthiness and operations) and the region.

3. REFERENCES, FORMS, AND JOB AIDS.

A. References:

- Parts 43, 45, 47, 65, and 91
- Advisory Circular (AC) 120-49, Certification of FAR Part 121/135 Operators, current edition
- FAA Order 8300.10, Airworthiness Inspector's Handbook, applicable chapters

B. Forms:

- FAA Form 8400-6, Preapplication Statement of Intent (PASI)
- FAA Form 8400-8, Operating Specifications
- FAA Form 8430-18, Air Carrier Certificate
- FAA Form 8430-21, Operating Certificate

C. Job Aids. None.

5. PREAPPLICATION PHASE PROCEDURES.

A. Provide the Applicant With AC 120-49. Advise the applicant to review AC 120-49, current edition, before filling out the PASI. Avoid lengthy or detailed discussions of the certification process until the applicant has read the AC.

B. Determine Applicant Eligibility.

(1) Determine if the applicant is qualified to apply for certification.

(2) Ensure that the applicant has proof of U.S. citizenship as defined under the Title 49 of the United States Code (49 U.S.C.).

C. Discuss the Preapplication Package. Provide the applicant with FAA Form 8400-6, with instructions to complete it and submit it to the district office.

(1) Advise the applicant that a completed PASI signals an intent by the applicant to continue the certification process.

(2) Recommend that the PASI be submitted only after the applicant has reviewed the appropriate regulations and advisory material.

(3) Advise the applicant that after receiving and processing the PASI, the FAA will arrange a preapplication meeting at which the certification process will be discussed in detail.

D. Review PASI. Within five working days of receipt of a signed PASI, determine if the information is complete, accurate, and acceptable. Ensure that the proposed operation is consistent with the regulations.

(1) If the PASI is unacceptable, accomplish the following:

- Note the reasons in section 2 of the PASI
- Notify the applicant in writing of the discrepancies detailed in section 2

NOTE: A new PASI is required to resume the certification process.

(2) If the PASI is acceptable, accomplish the following:

- Complete section 2 of the PASI
- Check the "Action" box of the PASI
- Contact AFS-620 for a precertification number
- Forward the PASI to the regional office

E. Establish Certification Team. When the district office has received a precertification number, the manager will select the certification team. Additional ASI's, including Cabin Safety Specialists, qualified on the types of aircraft to be used, may be used. One team member will be designated as the CPM.

F. Schedule Preapplication Meeting. Contact the applicant to arrange a preapplication meeting. Advise the applicant that key management personnel, as listed on the PASI, should attend the meeting and be prepared for a discussion of the applicant's proposed operation.

G. Conduct Preapplication Meeting.

(1) Review the PASI and verify all of the submitted information. Any changes made during the meeting should be reflected on the PASI by the applicant.

NOTE: If the changes significantly affect the anticipated scope and/or type of operation, forward a copy of the revised PASI to the regional office. If the

changes indicate the need to reassign certification responsibilities, immediately notify the regional office.

(2) Ensure that the applicant understands which regulations apply to the proposed operation. Advise the applicant to become familiar with the regulations and applicable advisory circulars.

(3) Ensure that the applicant and all key personnel understand the certification process.

(4) Advise the applicant of the responsibility to obtain appropriate Department of Transportation (DOT) economic authority. Ensure that the applicant understands that the FAA requires proof of DOT economic authority in order to issue a certificate.

(5) Verify that the applicant intends to continue the certification process. Encourage the applicant to submit required items in draft form before the formal package is submitted. Notify the CPM immediately of any problems or changes in the proposed operation.

(6) Inform the applicant of any reasons for concern. If necessary, advise the applicant to request another preapplication meeting after a more complete preparation. It is appropriate for the CPM to recommend to the applicant one or more of the following actions:

- A more thorough review of the applicable regulations
- Changes in proposed key management personnel
- Obtaining the services of a professional aviation consultant
- Ceasing certification efforts

(7) If at any time during the preapplication phase the applicant formally terminates certification efforts, or the CPM determines that the applicant will not proceed with certification, the CPM must:

(a) Return the PASI to the applicant, stating that the preapplication process is terminated and that a new PASI is required to resume the certification process.

(b) Notify the regional office that the project is terminated.

(c) Notify AFS-620 that the certification process is terminated and the precertification number is no longer needed.

7. FORMAL APPLICATION PHASE PROCEDURES.

A. Receive the Formal Application. The formal application may be received by mail or delivered in person. Within five working days of receipt of a formal application, the team must review it and determine its acceptability.

B. Review the Formal Application. Determine that each required item has been submitted. If any required item is missing, the entire package must be returned to the applicant within five working days of receipt with a letter stating the reasons for rejection. The minimum required items, as described in section 1 of this chapter, include the following:

(1) The formal letter requesting certification.

(2) The required formal application attachments, to include the following:

(a) *Schedule of Events.* Ensure that the Schedule of Events lists all items, activities, programs, aircraft, and facility acquisitions required for certification and the applicant's estimates of the date the item will be acquired or ready for inspection. Carefully consider the feasibility of the proposed schedule with respect to logic of sequence, timeliness of events, completeness of events, and ASI availability.

(b) *Company Manual.* Review the company manual(s) to be able to determine if the required information has been submitted. Evaluate the content and scope of the manual. Determine if the applicant is proceeding in an appropriate manner and is in compliance with the regulations. A more comprehensive evaluation will be conducted in the Document Compliance Phase.

(c) *Initial Company Training Curriculum.* Review the company training curriculum attachments and determine if each required segment has been submitted for each applicable crew member or dispatcher position. Determine if each curriculum meets regulatory requirements.

(d) *Management Qualifications.* A resume for each required management position is required. Each resume must contain information necessary to determine compliance. Ensure that there are no obvious omissions or significant discrepancies.

(e) *Documents of Purchase, Contracts, Leases, and Letters of Intent.* Review for obvious omissions or significant discrepancies.

(f) *Initial Compliance Statement.* Determine if the initial compliance statement meets requirement for form and content. Determine if the applicant is proceeding in an appropriate manner.

C. Schedule Formal Application Meeting. Contact the applicant and schedule the formal application meeting. Inform the applicant that key management personnel must attend. Before the meeting, identify discrepancies, omissions, or open questions that must be resolved.

D. Conduct the Formal Application Meeting. Each member of the certification team, the applicant, and all key management personnel must be present.

(1) Discuss the Formal Application Letter. Resolve any open questions and obtain missing information. Discuss the following:

(a) *Schedule of Events.* Provide clear and reasonable explanations as to why a scheduled item is not feasible. If deficiencies pertaining to the Schedule of Events cannot be resolved, terminate the meeting. Inform the applicant that the formal application is rejected and that it will be returned by letter with an explanation of the reasons for its rejection.

(b) *Initial Compliance Statement.* Provide recommendations for the correction of any deficiencies. Advise the applicant that the final compliance statement must reflect these corrections and that similar omissions or deficiencies must not recur when the final compliance statement is submitted.

(c) *Remaining Attachments.* Discuss any omissions and deficiencies found in the attachments. Provide clear explanations of why an item is considered deficient. Mutual agreements regarding corrective action must be reached during the meeting. If mutual agreements cannot be reached:

- Terminate the meeting
- Inform the applicant that the formal application is rejected and will be returned by letter with an explanation of the reasons for its rejection

(d) *Dates Shown on the Schedule of Events.* If necessary, adjust these dates.

(2) Encourage the applicant to present any questions concerning the certification process.

(3) Encourage the applicant to obtain and review the appropriate inspector handbooks. Provide the applicant with the address of the Government Printing Office (GPO) and encourage subscription to these handbooks in order to receive revisions.

(4) Ensure that the applicant clearly understands the following:

(a) Notification of acceptance or rejection of the formal application will be provided in writing within a few days after the meeting.

(b) Notification of acceptance of the formal application package does not constitute acceptance or approval of the separate attachments. Each attachment must be reviewed further. The applicant will be expected to take required corrective action.

(c) If the applicant is unable to meet the Schedule of Events, the FAA will need equivalent amounts of time, as agreed upon during the meeting, to complete necessary reviews and inspections. As a result, certification

could be delayed. Additionally, unanticipated demands on FAA personnel, such as accident investigations, could delay the certification process.

E. Accept or Reject the Formal Application Package.

(1) If the formal application meeting is successful, prepare and forward a letter to the applicant no later than five working days after the meeting.

(2) If the formal application meeting is unsuccessful, prepare and forward a letter to the applicant stating reasons for rejection. Specific examples which clearly substantiate each reason must be cited. Return the formal application and supporting documents to the applicant within five working days. Retain all of the documentation pertaining to the reasons for rejection.

(3) If it appears that the applicant does not intend to proceed with the certification, notify the regional office.

(4) If the applicant does not intend to proceed with the certification, notify AFS-620 to release the precertification number.

9. DOCUMENT COMPLIANCE PHASE PROCEDURES.

A. Review Submissions. Review each document submitted by the applicant. Examples of typical submissions during the Document Compliance Phase are listed below:

- Management personnel resumes
- General operation manual
- General maintenance manual
- Weight and balance procedures
- Training program manuals
- Approved aircraft flight manual
- Minimum equipment list
- Deviation requests
- Flight attendant manual
- Dispatch/flight following/flight locating procedures
- Maintenance reliability program
- Continuous analysis and surveillance system
- Proving test plan
- Emergency evacuation demonstration plan
- Final compliance statement
- Any other appropriate documentation

B. Document Deficiencies.

(1) If deficiencies are found in any document, return it to the applicant with a letter of explanation.

(2) Meet with the applicant if:

(a) The applicant does not meet the Schedule of Events, review the deficiencies in detail, or agree to a new,

modified schedule and re-enter the Document Compliance Phase at the appropriate point.

(b) Submissions are not of sufficient quality to warrant further review. If appropriate, advise the applicant that it is not practical to continue the certification process.

NOTE: Team members should remember that it is the applicant's responsibility to develop manuals and procedures which ensure safe operating practices and compliance with the rules. The team can offer suggestions on how to improve the product but should avoid "writing" the document.

11. DEMONSTRATION AND INSPECTION PHASE PROCEDURES.

A. Observe Demonstrations And Conduct Inspections. The following events may occur in this phase, as applicable:

- Airman/Flight Attendant training (classroom, simulator, and aircraft training)
- Airman/Flight Attendant testing and certification (airmen, crew members, and dispatchers, as applicable)
- Station facilities inspection (equipment, procedures, and personnel)
- Recordkeeping procedures inspection (documentation of training, flight and duty times, flight papers, etc.)
- Flight operations (dispatch, flight following, or flight locating capabilities)
- Approved maintenance program procedures inspection
- Maintenance activities (facilities, personnel, technical information, spare parts, etc.)
- Aircraft inspection (conformity inspection, aircraft maintenance records, etc.)
- Minimum Equipment List (MEL) and Configuration Deviation List inspection (compliance with Airplane Owner's Manual/Airplane Flight Manual maintenance procedures, etc.)
- Weight and balance control inspection (procedures, accuracy, and document control)
- Emergency evacuation demonstration (aborted takeoff and/or ditching demonstrations)
- Aircraft proving test (ability of applicant to operate independently, safely, and in compliance with the applicable regulations)
- Any other event appropriate for the type of operation to be conducted

B. Document Deficiencies. If deficiencies are observed during the conduct of activities and events (training, emer-

gency evacuation, etc.), or certain items are found deficient (MEL, records, etc.), recommend appropriate corrective action.

13. CERTIFICATION PHASE PROCEDURES. When the applicant has met all requirements, prepare the appropriate certificate. Use FAA Form 8430-18 for an Air Carrier Certificate and use FAA Form 8430-21 for an Operating Certificate. Include the following information on the appropriate form:

A. Certificate Holder's Name. Enter the certificate holder's full and official name directly below the words "This certifies that. . . ." Other names, such as "doing business as," will not be shown on a certificate.

B. Certificate Holder's Address. Enter the physical location of the certificate holder's principal base of operations directly below the name. Do not use a post office box.

C. Certification Statement of Authority. For the Air Carrier Certificate, do not modify the pre-printed certification statement of authority.

D. Certificate Number. Obtain the final certificate number from AFS-620.

E. Effective Date. Enter the date of issuance in the space provided. If a new certificate number is issued, the date on the new certificate will be that of original issuance. If an operator's name or certification statement of authority changes, a new certificate number must be issued. The new issuance date of the certificate will be entered in the space provided.

F. District Office Designator. Enter the four-character, alphanumeric designator of the certificate holding district office (CHDO) in the "issued at" space on the form (for example, EA18).

G. Signature. Air Carrier certificates issued to air operators complying with part 121 or 135 commuter rules must be signed by the regional Flight Standards Division manager or assigned designee. All other air operator certificates must be signed by the CHDO manager.

H. Signature, Title, and Region/Office. Enter the full title of the person signing the certificate in the space provided. If the Flight Standards Division manager signs the certificate, enter the full name of the region in the "Region/Office" space. If the district office manager signs the certificate, enter the full name of the region, the Flight Standards District Office (FSDO) acronym, and the number in the "Region/Office" space.

15. TASK OUTCOMES.

A. File PTRS Data Sheet.

B. Completion of this task will result in one of the

following for a successful certification:

(1) *Issuance of Operations Specifications.* Operations specifications must be signed by the applicant and the appropriate principal inspectors, (see vol. 2, ch. 84, FAR Part 121/135 Operations Specifications). Give the original certificate and operations specifications to the new certificate holder.

(2) *Preparation of the Certification Report.* After an operator is certificated, a certification report must be assembled. This report establishes the district office file. The report is signed by the CPM and includes the name and title of each team member who assisted in the certification project.

(3) *Distribution of the Certification Report.* Distribute the report as follows:

(a) For a part 135 Commuter Air Carrier or a part 121 Air Carrier, forward two copies of the report to the regional office for review. The regional office will forward one copy of the report to AFS-1.

(b) For all other part 121 or 135 operators, forward one copy of the report to the regional office for review.

(4) *For an unsuccessful certification:*

(a) A letter to the applicant indicating the certificate is denied.

(b) A letter to the applicant confirming termination of the certification process by the applicant.

17. FUTURE ACTIVITIES.

A. Transition. The district office manager must ensure that there is an orderly transition from the certification process to certificate management.

B. Post-Certification Surveillance. Assigned ASI's should observe the operator carefully during the first 90 days of operation. Additional inspections may be necessary to determine operating practices are performed at an adequate level of safety.

(1) Particular attention should be directed to areas that may not have been demonstrated or observed during certification, such as cargo and passenger loading.

(2) The ASI may detect a need for changes in the methods, techniques, operation, inspection, and/or maintenance during this early period of operation.